



2773  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
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Date: 12/28/99

Employee: E. Ford

Team: 4

#6

To: Technology Center 2780

From: Dora Stroud, Supervisor  
OIPE Customer Service  
Charge Location 0350

Subject: Customer Requests

Serial Number: 09/289550

File Location: 2781/T.C.

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Your cooperation is greatly appreciated.





06/22/PTO(modified) Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	<b>Complete if Known</b>	
<b>FEE TRANSMITTAL</b>  <b>TOTAL AMOUNT OF PAYMENT</b> Subtotal (1) + Subtotal (2) + Subtotal (3) = <b>(\$).00</b>		Application Number	09/289,550
		Filing Date	April 9, 1999
		First Named Inventor	Richard W. Friesen
		Group Art Unit	2773
		Examiner Name	Not Yet Known
		Attorney Docket Number	3854

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																									
<b>1. The Commissioner is hereby authorized to:</b>  <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.  <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †  <input type="checkbox"/> Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) to the below mentioned deposit account.  Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP  A Duplicate Copy of this authorization is attached  <b>2. <input type="checkbox"/> Payment Enclosed:</b> [ ] Check [ ] Other		<b>3. ADDITIONAL FEES</b> <table border="1"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th><th>Fee Due</th></tr></thead><tbody><tr><td>105/\$130</td><td>205/\$65</td><td>Surcharge - late filing fee or oath</td><td><input type="text"/></td></tr><tr><td>127/\$50</td><td>227/\$25</td><td>Surcharge-late provisional filing fee or cover sheet</td><td><input type="text"/></td></tr><tr><td>147/\$2,520</td><td>147/\$2,520</td><td>For filing a request for reexamination</td><td><input type="text"/></td></tr><tr><td>115/\$110</td><td>215/\$55</td><td>Extension for response within first month†</td><td><input type="text"/></td></tr><tr><td>116/\$380</td><td>216/\$190</td><td>Extension for response within second month†</td><td><input type="text"/></td></tr><tr><td>117/\$870</td><td>217/\$435</td><td>Extension for response within third month†</td><td><input type="text"/></td></tr><tr><td>118/\$1,360</td><td>218/\$680</td><td>Extension for response within fourth month†</td><td><input type="text"/></td></tr><tr><td>128/\$1,850</td><td>228/\$925</td><td>Extension for response within fifth month†</td><td><input type="text"/></td></tr><tr><td>119/\$300</td><td>219/\$150</td><td>Notice of Appeal</td><td><input type="text"/></td></tr><tr><td>141/\$1,210</td><td>241/\$605</td><td>Petition to revive unintentionally abandoned application</td><td><input type="text"/></td></tr><tr><td>142/\$1,210</td><td>242/\$605</td><td>Utility Issue Fee (Or Reissue)</td><td><input type="text"/></td></tr><tr><td>143/\$430</td><td>243/\$215</td><td>Design Issue Fee</td><td><input type="text"/></td></tr><tr><td>122/\$130</td><td>122/\$130</td><td>Petitions to the Commissioner</td><td><input type="text"/></td></tr><tr><td>123/\$50</td><td>123/\$50</td><td>Petitions related to provisional applications</td><td><input type="text"/></td></tr><tr><td>126/\$240</td><td>126/\$240</td><td>Submission of Information Disclosure Statement</td><td><input type="text"/></td></tr><tr><td>581/\$40</td><td>581/\$40</td><td>Recording each patent assignment per property (times number of properties)</td><td><input type="text"/></td></tr><tr><td>146/\$760</td><td>246/\$380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td><input type="text"/></td></tr><tr><td>149/\$760</td><td>249/\$380</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td><input type="text"/></td></tr><tr><td colspan="2">Other fee (specify):</td><td><input type="text"/></td><td><input type="text"/></td></tr><tr><td colspan="2">Other fee (specify):</td><td><input type="text"/></td><td><input type="text"/></td></tr><tr><td colspan="2"></td><td><b>SUBTOTAL (3)</b></td><td><b>(\$).00</b></td></tr></tbody></table>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$65	Surcharge - late filing fee or oath	<input type="text"/>	127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<input type="text"/>	147/\$2,520	147/\$2,520	For filing a request for reexamination	<input type="text"/>	115/\$110	215/\$55	Extension for response within first month†	<input type="text"/>	116/\$380	216/\$190	Extension for response within second month†	<input type="text"/>	117/\$870	217/\$435	Extension for response within third month†	<input type="text"/>	118/\$1,360	218/\$680	Extension for response within fourth month†	<input type="text"/>	128/\$1,850	228/\$925	Extension for response within fifth month†	<input type="text"/>	119/\$300	219/\$150	Notice of Appeal	<input type="text"/>	141/\$1,210	241/\$605	Petition to revive unintentionally abandoned application	<input type="text"/>	142/\$1,210	242/\$605	Utility Issue Fee (Or Reissue)	<input type="text"/>	143/\$430	243/\$215	Design Issue Fee	<input type="text"/>	122/\$130	122/\$130	Petitions to the Commissioner	<input type="text"/>	123/\$50	123/\$50	Petitions related to provisional applications	<input type="text"/>	126/\$240	126/\$240	Submission of Information Disclosure Statement	<input type="text"/>	581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<input type="text"/>	146/\$760	246/\$380	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="text"/>	149/\$760	249/\$380	For each additional invention to be examined (37 CFR 1.129(b))	<input type="text"/>	Other fee (specify):		<input type="text"/>	<input type="text"/>	Other fee (specify):		<input type="text"/>	<input type="text"/>			<b>SUBTOTAL (3)</b>	<b>(\$).00</b>
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<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Typed or Printed Name	Dana S. Rao	Reg. Number	43,875
Signature		Date	6/23/99

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby



IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

APPLICANT(S): Richard W. Friesen and Peter C. Hart  
SERIAL NO.: 09/289,550  
FILING DATE: April 9, 1999  
TITLE: User Interface for an Electronic Trading System  
EXAMINER: Not Yet Known  
GROUP ART UNIT: 2773  
ATTY. DKT. NO.: 3854

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**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: 6/23/99 By: [Signature]  
Dana S. Rao, Reg. No.: 43,875

ASSISTANT COMMISSIONER FOR PATENTS  
APPLICATION PROCESSING DIVISION  
CUSTOMER CORRECTION BRANCH  
WASHINGTON, DC. 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

SIR:

Enclosed is a copy of the Official Filing Receipt. It contains the following errors:

1. The total number of drawings is erroneously stated as 13. The correct total number of drawings is 14, as evidenced by our postcard, a copy of which is enclosed.
2. The number of total claims is erroneously stated as 38. The correct number of total claims is 58, as evidenced by the fee transmittal, a copy of which is enclosed.
3. The Applicant's name is erroneously stated as "Richard Friesen". The correct Applicant's name is "Richard W. Friesen" as evidenced by the executed Declaration, a copy of which is enclosed.

4. The city of residence for Applicant Peter C. Hart is erroneously stated as "San Rafacl". The correct Applicant's city of residence is "San Rafael" as evidenced by the executed Declaration, a copy of which is enclosed.

Please issue a corrected Filing Receipt rectifying these errors.

☒ The corrections are not due to any error by the Applicant and therefore no fee is due.

☐ Since at least one of the corrections is due to Applicant's error, payment in the amount of \$25, pursuant to 37 CFR § 1.19(h), is enclosed.

Respectfully submitted,  
RICHARD W. FRIESEN and  
PETER C. HART

Dated: 6/23/99

By: 

Dana S. Rao, Reg. No.: 43,875  
Fenwick & West LLP  
Two Palo Alto Square  
Palo Alto, CA 94306  
Tel.: (650) 858-7816  
Fax.: (650) 494-1417

FILING RECEIPT  
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Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

**COPY**

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/289,550	04/09/99	2773	\$1,138.00	3854	13	38	12

DANA S RAO  
FENWICK & WEST  
TWO PALO ALTO SQUARE  
PALO ALTO CA 94306



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JUN 14 1999

FENWICK & WEST LLP

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

RICHARD FRIESEN, FAIRFAX, CA; PETER C. HART, SAN RAFAEL, CA.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 04/28/99 \*\* SMALL ENTITY \*\*  
TITLE

USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM

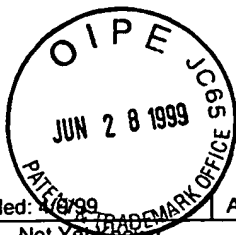
PRELIMINARY CLASS: 345

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DATA ENTRY BY: FORD, EVELYN

TEAM: 04 DATE: 06/10/99





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Date Mailed: 4/9/99 Atty/Sec: DSR/dkc Filing Date: 4/9/99

Serial No. Not Yet Known

Docket No.: 3854

Applicant(s): Richard W. Friesen and Peter C. Hart

Title: User Interface for an Electronic Trading System

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- |   |  |
|---|--|
| <input checked="" type="checkbox"/> 46 pages of Specification, Claims, & Abstract | <input type="checkbox"/> Amendment/Response                          |
| <input checked="" type="checkbox"/> 14 sheets of formal drawings                  | <input type="checkbox"/> PTO-1533 & Resp. to Notice Of Missing Parts |
| <input type="checkbox"/> Provisional Application Cover Sheet                      | <input type="checkbox"/> Request to Correct Filing Receipt           |
| <input checked="" type="checkbox"/> New Utility Application Transmittal           | <input type="checkbox"/> Request to Correct Assignment               |
| <input checked="" type="checkbox"/> Fee Transmittal (in duplicate)                | <input type="checkbox"/> IDS, PTO-1449, and cited references         |
| <input checked="" type="checkbox"/> Declaration                                   | <input type="checkbox"/> Issue Fee Transmittal                       |
| <input type="checkbox"/> Assignment & Recordation Cover Sheet                     | <input type="checkbox"/> Letter to Chief Draftsperson                |
| <input checked="" type="checkbox"/> Small Entity Statement                        | <input type="checkbox"/> Maintenance Fee Payment                     |
| <input type="checkbox"/> New Design Application Transmittal                       | <input type="checkbox"/> Request for Certificate of Correction       |
| <input type="checkbox"/> CPA Request Transmittal                                  | <input type="checkbox"/> Notice of Appeal                            |
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0002/PTO (modified) U.S. Department of Commerce  
Rev. 6/95 Patent and Trademark Office

## FEE TRANSMITTAL

### TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\$1,073.00)**

Complete if Known	
Application Number	Not Yet Known
Filing Date	April 9, 1999
First Named Inventor	Richard W. Friesen
Group Art Unit	Not Yet Known
Examiner Name	Not Yet Known
Attorney Docket Number	3854

### METHOD OF PAYMENT FEE CALCULATION (continued)

#### 1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☐ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.<sup>1</sup>
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Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☐ Payment Enclosed:  
[ ] Check [ ] Other

#### FEE CALCULATION (fees effective 11/12/98)

##### 1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
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108/\$310	206/\$155	Design Filing	<input type="text"/>
108/\$760	208/\$380	Reissue Filing	<input type="text"/>
114/\$150	214/\$75	Provisional Filing	<input type="text"/>
SUBTOTAL (1)			<input type="text" value="(\$380)"/>

##### 2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
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SUBTOTAL (3)			<input type="text" value="(\$).00"/>

(Col. 1)		(Col. 2)		(Col. 3)		Fee		Fee Due	
For	No. of Existing Claims	minus*	Highest No. Previously Paid For	=	Extra**	x		=	
TOTAL	58	minus*	20 or	=	38	x	9	=	342
INDEP	12	minus*	3 or	=	9	x	39	=	351
[ ] First presentation of multiple dependent claim									

\* Subtract the greater number of Col. 2

\*\* If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2)

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Dana S. Rao	Reg. Number	43,875
Signature		Date	4/9/99

<sup>1</sup> Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby





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PTO/SB/01 (6-95) (modified)  
Approved for use through 10/31/96 OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>0010/PTO</b> Rev. 6/95  <b>U.S. Department of Commerce</b> Patent and Trademark Office  <b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION</b>  <input type="checkbox"/> Declaration Submitted with Initial Filing OR <input checked="" type="checkbox"/> Declaration Submitted after Initial Filing	Attorney Docket Number	3854
	First Named Inventor	Richard W. Friesen
	COMPLETE IF KNOWN	
	Application Number	09/289,550
	Filing Date	April 9, 1999
	Group Art Unit	2773
	Examiner Name	Not Yet Known

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM**

the specification of which (Title of the Invention)

☐ is attached hereto  
OR

☒ was filed on (MM/DD/YYYY) April 9, 1999 as United States Application Number or PCT International Application Number 09/289,550 and was amended on (MM/DD/YYYY) [ ] (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37 Code of Federal Regulations. § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code § 119 (a)-(d) or § 385(b) of any foreign application(s) for patent or inventor's certificate, or § 365 (a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority sheet attached hereto:

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental sheet attached hereto.

<b>DECLARATION</b>	<b>Page 2</b>
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I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority sheet attached hereto.

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Name	Registration Number	Name	Registration Number
<b>Dana Rao</b> <b>Robert R. Sachs</b>	<b>43,875</b> <b>42,120</b>		

☐ Additional attorney(s) and/or agent(s) named on a supplemental sheet attached hereto.

Please direct all correspondence to:


**Dana S. Rao**  
**Fenwick & West LLP**  
**Two Palo Alto Square**  
**Palo Alto, CA 94306**  
**U.S.A.**

Telephone	(650) 858-7816	Fax	(650) 494-1417
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**Name of Sole or First Inventor:** ☐ A petition has been filed for this unsigned inventor

Given Name	<b>Richard</b>	Middle Initial	<b>W.</b>	Family Name	<b>Friesen</b>	Suffix e.g. Jr.	
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Inventor's Signature		Date	<b>5/20/99</b>
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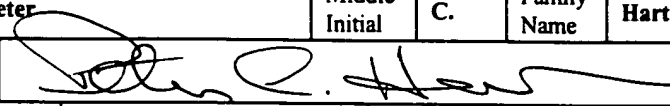
Residence: City	<b>Fairfax</b>	State	<b>CA</b>	Country	<b>U.S.A.</b>	Citizenship	<b>U.S.A.</b>
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Mailing Address	
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Mailing Address	<b>132 Ridge Road</b>
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City	<b>Fairfax</b>	State	<b>CA</b>	Zip	<b>94930</b>	Country	<b>U.S.A.</b>
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☒ Additional inventors are being named on supplemental sheet(s) attached hereto

DECLARATION					ADDITIONAL INVENTOR(S) Supplemental Sheet			
Name of Additional Joint Inventor, if any:					<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name	Peter	Middle Initial	C.	Family Name	Hart	Suffix	e.g. Jr.	
Inventor's Signature					Date	May 25, 1999		
Residence: City	San Rafael	State	CA	Country	U.S.A.	Citizenship	Canadian	
Mailing Address	53 Oakdale Avenue							
Mailing Address								
City	San Rafael	State	CA	Zip	94901	Country	U.S.A.	

Name of Additional Joint Inventor, if any:					<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name		Middle Initial		Family Name		Suffix	e.g. Jr.	
Inventor's Signature					Date			
Residence: City		State		Country		Citizenship		
Mailing Address								
Mailing Address								
City		State		Zip		Country		

Name of Additional Joint Inventor, if any:					<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name		Middle Initial		Family Name		Suffix	e.g. Jr.	
Inventor's Signature					Date			
Residence: City		State		Country		Citizenship		
Mailing Address								
Mailing Address								
City		State		Zip		Country		

Name of Additional Joint Inventor, if any:					<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name		Middle Initial		Family Name		Suffix	e.g. Jr.	
Inventor's Signature					Date			
Residence: City		State		Country		Citizenship		
Mailing Address								
Mailing Address								
City		State		Zip		Country		
<input type="checkbox"/> Additional inventors are being named on supplemental sheet(s) attached hereto								

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